

**GUIDE  
FOR  
ASME SURVEY TEAMS  
FOR  
ACCREDITATION of  
ORGANIZATIONS CERTIFYING ELEVATOR INSPECTORS AND  
ELEVATOR INSPECTION SUPERVISORS**

**The American Society of Mechanical Engineers  
Conformity Assessment Department  
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New York, NY 10016**

## **INTRODUCTION**

This Guide is prepared for the use of ASME Survey Team Leaders and Members. It is not intended to replace or interpret the requirements of QEI-1, Standard for the Qualification of Elevator Inspectors.

In addition, to assist the ASME Survey Team, this Guide is provided to Applicants for ASME Certificates of Accreditation for their use in verifying and identifying the paragraph where their Manual addresses all applicable requirements of QEI-1.

The Guide is subject to revision based on changes made in QEI-1.

A survey must cover a program and its implementation. It is recognized that the scope of work, the program, and program implementation will vary from applicant to applicant. Therefore, the ASME Survey Teams are advised that all aspects of this Guide may not apply and that this Guide may not outline all possible aspects of each survey. The program need not follow the format of the Guide.

Questions of possible need for interpretation raised by the Survey Team shall be submitted to ASME Director, Accreditation and Certification. When a request for an interpretation is to be submitted by an Applicant, the Team Leader shall advise the Applicant that all such inquiries must be submitted to the Secretary, QEI-1 Standards Committee.

Suggestions for revisions or clarification to this Guide should be directed to the ASME Director, Accreditation and Certification.

## **HOW TO USE THIS GUIDE**

Review each checklist item in the "QEI Survey Checklist" and note the Manual reference which covers the subject addressed in the column labeled "Program References." In the case where an item gives more than one alternative for fulfilling the applicable QEI-1 requirement, mark "N/A" in the column labeled "Quality Program References" adjacent to those alternatives that do not apply.

The original of this Guide shall be provided to the Team Leader along with sufficient copies for each member of the Survey Team (including the Team Leader).

QEI SURVEY CHECKLIST

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Item No	Program Element and Subelements	Program References To be filled in by Applicant	<u>Sat.</u>	<u>See Rep.</u>	<u>Not Appl.</u>
			For ASME Team Use Only		
1)	<p>CERTIFICATION PROGRAM - GENERAL (4-2)</p> <p>(a) Program includes planned and systematic actions necessary to provide compliance with requirements of QEI-1. (4-2)</p> <p>(b) Program includes provisions to update in accordance with revisions to QEI-1. (4-2.7)</p> <p>(c) Responsible personnel are indoctrinated and trained in the implementation of the program and monitored to assure continued compliance.</p> <p>(d) Program permits ASME to conduct Surveys and Audits and make documents necessary to understand the certification program available for on-site review. (4-3.2 &amp; 4-3.4)</p>				
2)	<p>CERTIFICATION MANUAL - GENERAL (4-2)</p> <p>(a) Manual includes description of the program sufficient for use as the basis for demonstration of compliance. (4-2)</p> <p>(Note: The Manual may be implemented through documented procedures and instructions which are separated from the Manual, provided they are consistent with controls established in the Manual.)</p> <p>(b) Manual is controlled as to issuance, revision and disposition of documents (4-2.3).</p> <p>(c) Procedures established to submit revisions of the Manual to ASME, and implement changes only after acceptance (4-3.3).</p>				
3)	<p>ORGANIZATION (4-2)</p> <p>(a) Authority and responsibility for program established and documented. (4-2.1)</p> <p>(b) Organizational freedom established to implement program. (4-2.1)</p> <p>(c) Personnel with direct involvement have administrative and technical experience. (4-2.1)</p>				

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4)	<p>EVALUATION OF INSPECTOR QUALIFICATION (4-2.2)</p> <p>Program clearly delineates the method for assuring that an inspector has the following qualifications in order to be certified:</p> <ul style="list-style-type: none"> <li>(d) Documentation of personnel includes education, training and experience. (4-2.1)</li> <li>(e) Organizational changes which affect program implementation are submitted to ASME for acceptance prior to implementation (4-3.3)</li> <li>(a) Knowledge of personal safety practices; (2-1(a))</li> <li>(b) Familiarity with industry terminology; (2-1(b))</li> <li>(c) Ability to read architectural and installation drawings; (2-1(c))</li> <li>(d) Knowledge of electrical and electronic principles; (2-1(d))</li> <li>(e) Knowledge of purpose and function of safety devices; (2-1(e))</li> <li>(f) Knowledge of mechanical principles; (2-1(f))</li> <li>(g) Knowledge of hydraulic principles; (2-1(g))</li> <li>(h) Knowledge of various types of equipment, their use and limitations, and any special problems of applications as included in ASME A17.1 or CSA B44, ASME A17.1/CSA B44, CSA B311, ASME A18.1 or CSA B355 (past and present) and local regulations; (2-1(h))</li> <li>(i) Knowledge of functions and operations of elevators, escalators, and moving walks; (2-1(i))</li> <li>(j) Knowledge of inspection and testing procedures described in A17.2; (2-1(j))</li> <li>(k) Knowledge of those portions of the building, fire, electrical and accessibility codes pertaining to elevators, escalators, and moving walks; (2-1(k))</li> </ul>				

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5)	<p>EVALUATION OF MAINTENANCE OF INSPECTION QUALIFICATIONS (4-2.2)</p> <p>Program clearly delineates the method for assuring that a certified inspector maintains qualifications by:</p> <ul style="list-style-type: none"> <li>(l) Demonstrated ability to perform acceptance, periodic and routine inspections and tests and report the results in accordance with appropriate administrative procedures. (2-1(l) &amp; 2-2)</li> <li>(m) Knowledge of the requirements of A17.3. (2-1(m))</li> <li>(n) Awareness of B44.1/A17.5 and ASME A18.1 or CSA B355. (2-1(n))</li> <li>(o) Personal possession of latest edition of QEI-1 and referenced standards listed under 1-5(a). (2-1(p))</li> <li>(p) Workplace access to current editions listed under 1-5(b). (2-1(q))</li> <li>(a) Becoming familiar with new technology. (2-3(a))</li> <li>(b) Maintaining knowledge of current local administrative or operating procedures. (2-3(b))</li> <li>(c) Maintaining knowledge of most recent revisions to A17.1, A17.2 and building, fire, electrical and handicapped accessibility codes. (2-3(c))</li> <li>(d) Making provisions to monitor maintenance of qualifications in accordance with requirements of 2-3 (f). (4-2.2)</li> <li>(e) Having possession of referenced standards listed in 1-5(a) and access to referenced standards listed in 1-5(b). (2-3(e))</li> </ul>				
6)	<p>EVALUATION OF INSPECTION SUPERVISOR (4-2.2)</p> <p>Program clearly delineates the method for assuring that an inspection supervisor has the following qualifications in order to be certified:</p> <ul style="list-style-type: none"> <li>(a) Qualified inspector.(3-1)</li> </ul>				

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7)	(b) Demonstrated aptitude for leadership, administration and management. (3-1(a))					
	(c) Demonstrated in-depth knowledge of applicable codes. (3-1(b))					
	(d) Demonstrated ability to perform administrative duties listed under 3-2.1. (3-1(c))					
	(e) Demonstrated ability to perform technical duties listed under 3-2.2. (3-1(c))					
	(f) Experience requirements of 3-1(c).					
	<b>EVALUATION OF MAINTENANCE OF INSPECTION SUPERVISOR QUALIFICATION (4.2.2)</b>					
	Program clearly delineates the method for assuring that a certified inspection supervisor maintains qualifications by (3-3):					
	(a) Making provisions for monitoring maintenance of qualifications in accordance with 3-3(a) and 2-3 (f). (3-3(a))					
	(b) Attending or conducting at least one professional level seminar or workshop per year related to professional duties. (3-3(b))					
(c) Spending at least 10% of work time with inspectors accordance with 3-3(c). (3-3(c))						
8)	<b>UPGRADING (4-2.9)</b>					
Upgrading procedures assure compliance with QEI-1. (4-2.9)						
9)	<b>DOCUMENT CONTROL (4-2.3)</b>					
(a) Means are provided to control the issuance, revision and disposition of all pertinent documents, including prevention of accessibility by unauthorized individuals. (4-2.3)						
(b) Examinations not accessible to any person except those directly involved in their development and administration. (4-2.3)						

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10)	<p>CONTROL OF SUBCONTRACTED SERVICES (4-2.4)</p> <p>When the Certificate Holder subcontracts services to other organizations:</p> <p>(a) Provisions are established to ascertain the capability of subcontractors to meet requirements of QEI-1. (4-2.4)</p> <p>(b) Provisions are established to monitor subcontractors for continued compliance. (4-2.4)</p>				
11)	<p>REVISIONS TO REFERENCE STANDARDS (4-2.7)</p> <p>(a) Editions of reference standards listed under 1-4 on file. (4-2.7)</p> <p>(b) Provisions included to update program in accordance with revisions to reference standards. (4-2.7)</p>				
12)	<p>CONTROL OF CERTIFICATION DOCUMENTATION (4-2.5)</p> <p>(a) Provisions included for the issuance of certification cards (or other identification) only to persons certified under the accredited program (4-2.5)</p> <p>(b) Certification documentation includes complete and proper information as listed under 4-2.5(a) thru 4-2.5(f) (4-2.5).</p> <p>(c) Distribution of certification documentation controlled (i.e. through sequential numbering). (4-2.5)</p> <p>(d) Provisions included to revoke/not renew certification documentation for individuals who do not maintain qualifications. (4-2.5)</p> <p>(e) List of certified inspectors and inspection supervisors, their addresses, compiled and current.</p> <p>(f) Names of certificate inspectors and inspection supervisors available to the public. (4-2.5)</p> <p>(g) Provisions include handling of lost or stolen certification cards/documents (4-2.5)</p>				

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13)	DISPUTES AND APPEALS (4-2.6)  (a) Provisions included for handling disputes and appeals. (4-2.6)  (b) Detailed appeals mechanism established. (4-2.6)  (c) Provisions included for handling complaints regarding qualifications of certified individuals and for notification to ASME within 30 days, and upon adjudication a generic synopsis to ASME outlining the complaint & its resolutions. (4-2.6)  (d) Provisions included for handling of conflict of interest. (4-2.11(c) & 4-2.11(d))				
14)	CERTIFICATION RECORDS (4-2.8)  (a) Requirements and responsibility for record transmittal, distribution, retention, maintenance and disposition established and documented. (4-2.8)  (b) Records compiled and maintained for all certified inspectors. (4-2.8)  (c) Records retained for at least 3 years following termination of certification. (4-2.8)  (d) Examinations retained for at least 1 year. (4-2.8)  (e) Records shall be protected against damage, deterioration or loss (4-2.8)				
15)	INTERNATIONAL ACCREDITATION (4-2.10)  (a) Nationally accepted reference standards shall be used in lieu of those listed in 1.3. (4-2.10)  (b) Certification documentation addressed under 4-2.5 shall include country(ies) to which the certification applies (4-2.10).				

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16)	CODE OF ETHICS (CONDUCT) (4-2.11)  (a) Code of Ethics in effect and available on website and readily available to certified inspectors and inspection supervisors, and individuals or organizations utilizing the services and relying on inspection reports (4-2.11(b))  (b) Means established for implementation and enforcement. (4-2.11)  (c) As a minimum, items listed under 4-2.11(a) shall be addressed in the Code of Ethics. (4-2.11(a))  (d) Establish policies defining conflict of interest (4-2.11(c))				
17)	CONTINUING EDUCATION & PROFESSIONAL DEVELOPMENT (4-2.2)  a) Provisions established to detail how a meeting, seminar, education program, professional development activities are accepted as meeting criteria for maintenance of certification. (4-2.2. & 2.3(f))  b) Documenting & providing to certified inspectors & inspection supervisors a list of currently approved meetings, seminars, education program & professional development activities. (4-2.2)				